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Item 8 of the provisional agenda
National adaptation plans

Experience with the application of the initial guidelines for the formulation of the national adaptation plans

Submissions from Parties and relevant organizations

1. The Conference of the Parties invited Parties and relevant organizations to submit to the secretariat, by 26 March 2014, information on their experience with the application of the initial guidelines for the formulation of national adaptation plans,[1] for consideration by the Subsidiary Body for Implementation at its fortieth session.[2]

2. The secretariat has received seven such submissions. In accordance with the procedure for miscellaneous documents, the four submissions from Parties[3] and the three submissions from intergovernmental organizations[4] are attached and reproduced* in the language in which they were received and without formal editing.

3.

[1] Annex to decision 5/CP.17.
[2] Decision 18/CP.19, paragraph 6.
[3] Also available at <http://unfccc.int/5900>.
[4] Also available at <http://unfccc.int/7481>.
* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

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Contents

		Page
1.	Kyrgyzstan (Submission received 27 March 2014)	3
2.	Nauru on behalf of the Alliance of Small Island States (Submission received 15 April 2014)	5
3.	Nepal on behalf of the least developed countries (Submission received 16 May 2014)	8
4.	United States of America (Submission received 5 May 2014)	13
5.	Food and Agriculture Organization of the United Nations (Submission received 28 March 2014)	19
6.	International Organization for Migration, United Nations High Commissioner for Refugees, and United Nations University Institute for Environment and Human Security (Submission received 26 March 2014)	22
7.	World Bank Group (Submission received 3 April 2014)	28

Paper no. 1: Kyrgyzstan

In accordance with the provisions of the UN Framework Convention on Climate Change (UNFCCC) and its Kyoto Protocol and for the implementation of cross-sectoral and inter-agency coordination of government agencies, the Coordinating Committee on Climate Change (Coordination Committee) was formed chaired by Vice - Prime Minister of the Kyrgyz Republic in charge of environmental issues by Decree of the Government of the Kyrgyz Republic dated from 21.11.2012 No. 783. The State Agency on Environment Protection and Forestry of the Kyrgyz Republic (State Agency) was determined as a working body of the Coordination Committee. The composition of the Coordination Committee included leaders of ministries and administrative authorities, committees of the Kyrgyz Republic, National Academy of Sciences and representatives of the public.

The Coordination Committee has been actively leading and coordinating the activities of ministries, agencies and organizations since its inception to meet the obligations of the Kyrgyz Republic under the UNFCCC and the Kyoto Protocol aimed at stabilizing greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system.

At meetings of the Coordination Committee the discussions are held on ongoing and planned activities related to climate change (legislative, policy documents, programs and projects, activities to enhance the capacity and awareness), on coverage of issues of adaptation and mitigation of climate change in the sectoral ministries and agencies, increase of the capacity of professionals to fulfill the obligations of the Kyrgyz Republic under the UNFCCC, as well as issues on resource mobilization - intersectoral, interagency, integration of efforts of local governments, international organizations and civil society into the measures and actions to combat the impacts of climate change.

Pursuant to decisions of the meetings of the Coordination Committee, a working group of responsible persons from ministries and agencies on issues related to adaptation and mitigation of climate change was formed.

The work to improve the capacity of experts at ministries and agencies to completely fulfill the obligations of the Kyrgyz Republic under the UNFCCC is being done on an ongoing basis.

The Decree of the Government of the Kyrgyz Republic dated from October 2nd, 2013 No. 549 (published in Kyrgyz, Russian and English) has been developed and approved on Priority areas for adaptation to climate change in the Kyrgyz Republic until 2017, prepared in order to adapt the ecological and economic systems of the Kyrgyz Republic to the changing climate and the implementation of international obligations of the KR under the UNFCCC.

Priority areas for adaptation to climate change in the Kyrgyz Republic until 2017 provide adaptation measures for the main sectors:

—water resources,
—agriculture,
—health,
—climatic emergencies,
—forest resources and biodiversity.

As an implementation of the priority focus areas of climate change adaptation in the Kyrgyz Republic, by decision of the meeting of the Coordination Committee the ministries and agencies is to prepare and submit for consideration the sectoral programs on adaptation to climate change by November 2014. In order to increase the capacity of experts of ministries, agencies and to assist in the preparation of sectoral adaptation programs several working meetings have been held on covering issues of adaptation and mitigation of climate change in line ministries and agencies of the Kyrgyz Republic.

The Ministry of Health of the Kyrgyz Republic with the support of the World Health Organization (WHO) has developed a strategy and program of action on climate change adaptation in the health sector.

Currently, the State Agency with the support of UNEP is preparing the Third National Communication on Climate Change.

The work is being done with representatives of international organizations, financial institutions, development agencies and embassies of donor countries on coordination of activities in the field of climate change, implemented in the country with international support in the form of grants and technical advisory services.

The work is being done with non-governmental organizations of the Kyrgyz Republic, operating in the field of climate change, discussion of their activities carried out with the support of international financial institutions and donor countries in the form of grants and technical advisory support.

Joint actions are held for managing and enhancing the contribution of civil society and other stakeholders in the development and implementation of national climate policy, increase of public awareness on the current progress.

On February 25th, 2014 the State Agency conducted panel discussions titled "Overview of institutional and policy framework on climate change" in the framework of the Coordination Committee's activities in conjunction with the Climate Network of Kyrgyzstan and UNDP, with the support of the Mountain Partnership. The main purpose of the panel discussion was to discuss the existing institutional structure and legal framework in the field of climate change in Kyrgyzstan, the experience of completed and ongoing adaptation and mitigation practices and (frames of) interaction between the stakeholders to implement them (the government, the Coordination Committee, the executive authorities, civil society).

Climate change issues are integrated into:

- National Security Concept of the Kyrgyz Republic, approved by Presidential Decree of June 12th, 2012 No. 120;
- a Package of measures to ensure environmental safety in the Kyrgyz Republic for 2011-2015, approved by the Decree of the Government of the Kyrgyz Republic dated from 23.09.2011 No.599;
- the Programme of the Government of the Kyrgyz Republic "Stability and Decent Life" amended with the provision of legal action on adaptation to climate change and low carbon development in the following legislation: Forest Code of the Kyrgyz Republic, Water Code of the Kyrgyz Republic, the Law "On Environmental Protection", "On Air Protection", "On Transport", "On Protection of Health of citizens of the Kyrgyz Republic", "On Public Health", approved by Government Resolution of June 27, 2012 No. 447, 448, 449, 450.

Changes and amendments to the laws were made to conform to the Law of the Kyrgyz Republic "On state regulation and policy in the field of emission and absorption of greenhouse gases", setting the basis for state regulation, procedures, rights, duties and responsibilities of government agencies, local governments , individuals and legal persons in the field of emission and absorption of greenhouse gases in the Kyrgyz Republic, as well as in accordance with the requirements of the UNFCCC and the decisions of the last Conference of the Parties.

The section "Environment Protection" was worked out to the Program for the transition to sustainable development for 2013-2017 years, developed to implement the provisions of the National Sustainable Development Strategy of the Kyrgyz Republic for 2013-2017 years (Decree of the President of the Kyrgyz Republic dated from November 24th and December 26th, 2012). An action plan including climate change issues to achieve the stated priorities and objectives, indicators matrix and budget for planned activities have been formed under this section.

Paper no. 2: Nauru on behalf of the Alliance of Small Island States

Submission of Nauru on behalf of the Alliance of Small Island States on information from Parties on their experience with the application of the initial guidelines for the formulation of National Adaptation Plans (NAPs), as well as any other information relevant to the formulation and implementation of NAPs

11 April 2014

Nauru on behalf of the Alliance of Small Island States (AOSIS), a group of 43 islands and low-lying coastal countries that are most vulnerable to the negative impacts of climate change, welcomes this opportunity to present information on experience with the application of the initial guidelines for the formulation of National Adaptation Plans (NAPs) set out in the annex to decision 15/CP.17, as well as other information relevant to the formulation and implementation of NAPs.

The experiences of AOSIS countries with the application of the initial guidelines differ from country to country and from region to region. Some countries are still at the early planning phase of their NAPs; some have not done NAPs; some have developed other paths.

Accordingly, this submission is intended to highlight some of the common challenges facing all SIDS in the context of NAPs, complementing any national submissions that may be put forward by individual AOSIS members.

Background

The Alliance of Small Island States is uniquely positioned to comment on the NAP process, in that it has both LDC and non-LDC members.

By decision 1/CP.16, paragraph 15, the Conference of the Parties established a process to enable ***Least Developed Country (LDC) Parties*** to formulate and implement national adaptation plans, as a means of identifying their medium and long term adaptation needs and developing and implementing strategies and programmes to address these needs, building upon their experiences in preparing and implementing National Adaptation Programmes of Actions (NAPAs).

By paragraph 16 of the same decision, ***non-LDC developing country Parties*** were invited by the COP to employ the modalities formulated for the LDC NAP process to support their own efforts with respect to planning, prioritizing and implementing adaptation actions, including projects and programmes in the areas of water resources, health, agriculture and food security, socio-economic activities, terrestrial, freshwater and marine ecosystems, and coastal zones, as well as actions identified in national and subnational adaptation plans and strategies, national communications, technology needs assessments and other relevant national planning documents.

Following work by the Subsidiary Body on Implementation, the "*Initial guidelines for the formulation of national adaptation plans by least developed countries*" were agreed as set out in the Annex to decision 15/CP.17.

Challenges

The adverse impacts of climate change pose a threat to the very existence of many SIDS, making the adaptation planning process a very real necessity. At the same time, SIDS: whether LDC or non-LDC, face well-recognized financial, human and technical resource constraints in the preparation, elaboration and implementation of national adaptation plans.

Given the disproportionate burden that SIDS face from the impacts of global greenhouse gas emissions, and the enormity of the adaptation challenge, all SIDS should receive scaled up, predictable and adequate support under the UNFCCC for their NAP processes.

Some of the challenges faced by Non-LDC SIDS in the application of the initial guidelines include, inter alia:

- The lack of awareness that initial guidelines for NAPs exist;
- A misconception that the guidelines are there only for LDCs;
- The timing of the release of these guidelines, as some national processes may already be in place;
- The lack of funding for Non-LDC NAPs under the UNFCCC, which has resulted in some countries opting to work on their institutional arrangements instead of on their NAPs.

Financial and technical support for NAPs

All SIDS require predictable and adequate financial support, capacity-building and technical assistance to produce and update national adaptation plans.

In regards to capacity-building and technical assistance, AOSIS applauds the efforts of the National Adaptation Plan Global Support Programme (NAP-GSP), a UNDP-UNEP programme, financed by the LDCF. The NAP-GSP assists LDCs in advancing their national adaptation plans. AOSIS would like to take this opportunity to remind Parties and other relevant organizations that COP19 decision 18/CP.19 invited UN organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to consider establishing or enhancing support programmes for the national adaptation plan process for developing country Parties that are non-LDCs, and to submit to the UNFCCC secretariat information on how they have responded to this invitation. AOSIS looks forward to learning more about how these organizations plan to extend their support to non-LDC developing countries, and in particular to non-LDC SIDS.

To date, financial arrangements for the formulation and implementation of NAPs have been addressed under decisions 15/CP.17, 12/CP.18 and 18/CP.19. Under these decisions, the Parties have encouraged support to the NAP process for LDCs through the LDC Fund (LDCF). Similar encouragement has more recently been given to donors to fund the planning process for non-LDCs through the Special Climate Change Fund (SCCF) and other bilateral and multilateral channels.

However neither the LDCF nor the SCCF is part of the financial mechanism of the Convention. Both are voluntary donor funds, administered by the GEF but separate and apart from the GEF Trust Fund. As a result, both suffer from inadequate and unpredictable financing.

A paragraph from the *Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund*, prepared for the June 2013 LDCF/SCCF Council meeting, explains the problem under a heading "Lessons, Challenges and Opportunities", as follows:

> 33. There are persistent barriers to further scaling up and mainstreaming adaptation. The current supply of resources for adaptation continues to fall far short of current and projected demand. ***In particular, 17 eligible SIDS that are not LDCs have yet to access resources from the SCCF, despite their considerable exposure to the effects of climate change***. In addition, adaptation finance remains highly unpredictable, providing vulnerable countries with few opportunities and incentives to invest in longer-term capacity building, institutional frameworks, planning and investments. As a result, adaptation remains inadequately coordinated and monitored in many countries. Rapid progress notwithstanding, there is a continued lack of awareness and data of climate change impacts, vulnerabilities and adaptation options.[1]

[1] http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF-LDCF.SCCF_.14-

In addition to the financial and technical support that LDCs require, which must be substantially scaled up, non-LDC SIDS also require financial and technical support for the elaboration of their NAPS.

Developed countries have agreed under Article 4.3 of the Convention to provide the financial resources needed by developing countries to meet the incremental costs of implementing measures in Article 4.1, which include the development of plans for adaptation as highlighted under Article 4.1. Accordingly, special consideration should be given to ensuring that all SIDS are provided with the necessary financial and technical support for their NAP processes.

Support for SIDS' and developing countries' NAPs should come from the GEF Trust Fund, with due consideration given to vulnerable countries such as LDCs and SIDS. It is expected that over time, the GCF will become the main climate fund and therefore a major channel for providing adaptation financing, including for NAPs.

Therefore AOSIS:

1. Recommends the COP to request the Board of the GCF, in conformity with provisions of its Governing Instrument, to support developing countries, in particular LDCs and SIDS, in formulating and implementing their NAPs as soon as the Fund is operational and its resources become available, by the end of 2014.
2. Calls on Developed Country Parties to provide scaled up, adequate and additional resources to the LDCF and to the GCF in the context of its initial capitalization to meet the needs of particularly vulnerable developing countries, such as LDCs and SIDS, to develop and implement their NAPs.
3. Stresses the need to ensure that procedures for accessing finance and support for developing countries' NAPs are simplified, expeditious, flexible and practical to take into account the different stages of development of NAPs in different countries, their specific circumstances and the urgency of their adaptation needs.
4. Encourages UN organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to consider establishing or enhancing support programmes for the national adaptation plan process for developing country Parties that are non-LDCs.

03.%20Progress%20Report%20on%20the%20Least%20Developed%20Countries%20Fund%20and%20Special%20Climate%20Change%20Fund%2C%202013-05-23_1.pdf.

Paper no. 3: Nepal on behalf of the least developed countries

The LDC Group welcomes the invitation to submit information on experiences with the application of the Initial Guidelines for the Formulation of National Adaptation Plans, as well as any other information relevant to the formulation and implementation of the National Adaptation Plans (NAPs). In response to this invitation, the Least Developed Countries Group (LDC Group) is pleased to submit the following views for consideration by the SBI.

1. LDCs experience in adaptation planning and implementation

Consistent with the latest findings of the IPCC Working Group II of 5th Assessment Report on Impacts, Adaptation and Vulnerability, adaptation experience is accumulating in the LDCs as a result of past and ongoing initiatives. Examples of such initiatives include:

- *National Adaptation Programmes of Action (NAPAs)* which provided a process for the LDCs to identify priority activities that respond to their urgent and immediate adaptation needs for which further delay could increase vulnerability or lead to increased costs at a later stage. NAPAs provided valuable experience to the climate change process in LDCs. In many LDCs, NAPAs provided the first opportunity to undertake various climate change related studies and to align adaptation projects with national development priorities. NAPAs have improved the level of awareness, increased capacity at the national and community levels and enabled mobilization of national and international financial resources for adaptation. Indeed, NAPAs remain the cornerstone of emerging adaptation work in the LDCs including the NAP process.
- *Multilateral programmes such as the Pilot Programme for Climate Resilience*, through which some LDCs are being supported to integrate climate risk and resilience into core development planning and implementation.
- *Regional bilateral programmes such as the Africa Adaptation Programme* which was designed to assist 20 countries across Africa to incorporate climate change risks and opportunities into their national development processes in order to protect development gains from climate change.
- *Pacific Adaptation to Climate Change (PACC) Programme* which was the first major climate change adaptation initiative in the Pacific region. LDCs in this region benefitted from support on laying the groundwork for more resilient communities that are better able to cope with climate variability and climate change. The Programme helped in demonstrating best-practice adaptation in three key climate-sensitive areas: coastal zone management, food security and food production, and water resources management.
- *Mekong River Commission Climate Change and Adaptation Initiative (MRCCCAI)* assists MRC member countries to demonstrate how climate change adaptation is effectively harmonized with strategies and plans at various levels and applied at priority locations throughout the basin.

Most importantly, despite virtually no resource at their disposal, many LDCs undertook various measures, varying in scale from local level initiatives, to national level programmes in adapting to climate change. Such measures include the promotion of local coping measures to climate change, awareness raising, generating political buy-in, and promotion of approaches that focus on the most vulnerable communities and societies.

Through the above initiatives and efforts, LDCs have been able to put in place various arrangements in varying degrees, to plan and implement adaptation measures. Some examples are:

- National institutional arrangements such as climate change secretariats, committees, technical working group, task forces to lead and guide the adaptation efforts at national level. As such, all support provided to LDCs should recognize and build on these existing institutions.
- Regulatory/legislative instruments such as policies and strategies to address climate change issues in their countries.
- Rich experiences on addressing adaptation from NAPA implementation and other national initiatives. The NAP process can build on these experiences.
- Integration of climate change into national development strategies and plans.
- Capacity building and training in the areas that are relevant to the NAP process, e.g. climate scenario development and modeling, economic appraisal, monitoring and evaluation, etc.

These experiences put LDCs in the right place to coordinate and lead their efforts at the national level in adapting to climate change. A coordinated approach in supporting LDCs would, therefore, not only reflect national priorities and needs but also complement previous, ongoing and planned efforts.

2. LDCs experiences in the application of the guidelines for NAPs

The LDCs note that the "Initial Guidelines for the Formulation of NAPs" from the COP (Annex to decision 5/CP.17) are meant to guide the formulation of NAPs as part of a process to "formulate and implement NAPs" established under the Cancun Adaptation Framework.

The LDCs understand that the "Initial Guidelines for the Formulation of NAPs" include the following major elements:

- The guidelines provide great flexibility to take account of different national circumstances and underscore the importance of a country-driven process.
- An important element for the long-term nature of the NAP process is starting with appropriate national mandates.
- It also allows stocktaking of what has already been done will inform further action
- The process identifies the needs and gaps for undertaking a long-term sustainable NAP process.
- It also allows the preparation of implementation strategies for adaptation. The LDCs note that the "Initial Guidelines" stop short of how NAPs are to be implemented and that the Initial Guidelines themselves are for "formulation of NAPs" and not for "formulation and implementation of NAPs".
- The NAP process is iterative, continuous and that monitoring and evaluation will be important to provide the necessary feedback in this iterative and continuous process.

The LDCs also welcome the Technical Guidelines for the NAPs Process prepared by the LDC Expert Group (LEG) as part of the support modalities. The LDCs also recognize that the current guidelines and support so far provided under NAP process have built the initial capacity to initiate the formulation of NAPs. The LDCs are also aware of several supplements to the NAP guidelines

that could further enrich the support available to the LDCs. These could be very useful for LDCs, provided they supplement missing details, rather than duplicate the information that already exist in the Technical Guidelines.

The LEG training workshops held in 2012-2013, the 2013 NAP Expo, and the more recently held workshop to advance the formulation of NAPs through the NAP Global Support Programme (NAP GSP), have been very useful for LDCs to understand and apply the NAP guidelines. Such training and outreach should continue to ensure that all LDCs are supported adequately in this nascent stage of the NAP process.

Meanwhile, LDCs have started to understand the NAP guidelines based on support by the LEG, and lately the NAP GSP for the LDCs. Some LDCs have already taken concrete steps on their NAP processes at the national level. Countries like Sudan, Burkina Faso, Ethiopia and Tanzania have undertaken work at the national level that goes along with the formulation of NAPs.

Furthermore, while many LDCs continue to gain a better understanding of the Initial Guidelines for the Formulation of NAPs though various support, it has also been useful to learn that many other non-LDC parties, including Annex I Parties, have already prepared national plans and action plans for adaptation through processes that adhere to the principles of the NAP process. These serve as useful examples for LDCs to learn from.

3. Further expanding and enhancing the NAP guidelines

Based on the experiences so far and review of applicability of the guidelines, LDCs continue to share the general feeling that the Initial Guidelines for Formulation of NAPs does not need to be revised, but rather be further expanded or enriched to include elements other than the formulation of NAPs. One key lessons learned by the LDCs in NAPAs was that the absence of early guidelines for the implementation of NAPAs prevented the development of comprehensive implementation strategies during the NAPA preparation phase. While the NAPs will be implemented through the Green Climate Fund (GCF) and other means, LDCs would like to see a discussion at SB40 on how this will be explored, with a view to have a decision on implementation of NAPs at COP20.

Furthermore, some of the elements and areas needing expansion and improvement through such discussions are outlined below:

- While the NAP process has two objectives of reducing vulnerability to climate change, and integrating adaptation into development planning, the Initial Guidelines focus primarily on the integration of adaptation into planning. There are many activities in the guidelines to support integration of adaptation into development planning that is already taking place in many LDCs but the challenge is translating these into actions that reduce vulnerability.

- In view of the NAP being a continuous, progressive and iterative process, LDCs see the "National Adaptation Plan" as an integral part of the NAP process that will in essence be a living document to convey the progress of formulation, implementation, and the monitoring and review of adaptation planning and implementation.

- Given the wide range of activities and many possible permutations of how a NAP process could be carried out, there is the need for elaboration on how activities can be clustered according to their individual needs and circumstances. This would include possible steps or activities a country may take depending on risks, vulnerabilities, progress in adaptation planning and implementation, etc. It would also include possible key outputs or outcomes that are necessary for an effective process at the national level. The LEG could further explore how the above mentioned issues can be addressed.

- Another area requiring further elaboration to support LDCs in better understanding and applying the guidelines is the clarification of baseline activities and costs from additional climate burden and costs. Such information would be useful for integration of climate change adaptation into national adaptation planning.

4. Challenges, gaps, needs and possible solutions

In addition to the Initial Guidelines for Formulation of NAPs and the LEG Technical Guidelines, there are also supplements to the LEG Technical Guidelines being prepared by different organizations and agencies. There are also additional guidelines and processes that are being prepared that could be interpreted as parallel processes on how to formulate NAPs. While supplements can be useful, guidelines or processes that duplicate can lead to confusion for LDCs who are just initiating the NAPs. With the potential for numerous supplements and parallel guidelines from bilateral and multilateral organizations and agencies, there is a need to ensure coherence of multiple guidelines and supplements for NAPs. While the UNFCCC serves as the driver for adaptation through the NAP process there is a need to minimize potential confusion for LDCs. The COP through the SBI and the LEG should work to further support LDCs in this regard.

The principle of a country-driven approach is essential to ensure ownership and success of long-term adaptation planning and implementation. LDCs already have institutional setups and processes that should be supported for enabling the NAP process. In applying the NAP guidelines and in line with the principles of the NAP process, provision of support from bilateral and multilateral sources should, therefore, support these existing institutions and processes.

There is inadequate financing to support the LDCs in the NAP process. The LDC Fund (LDCF) is presently able to finance the implementation of NAPAs and the formulation of NAPs only for those LDCs that have not yet exceeded their respective allocation. There needs to be adequate financial resources for the LDCs for the NAP process, and adequate arrangements should be made under the LDCF for the formulation of NAPs. To assist LDCs and expedite the NAP process with the formulation of NAPs, workshops and events of the LEG should continue. Adequate financing is required for GSP to support activities in all LDCs relating to laying the groundwork and addressing gaps.

There should be a clearer linkage and interface for adaptation planning and implementation in the long run though the GCF which should prioritize LDCs in their readiness activities, and design such activities in accordance with the NAP guidelines with the engagement of the LEG.

To maintain the momentum and to build on the experiences of the LDCs in understanding and applying the Initial Guidelines, there should be a series of activities to better inform and enrich the process. A synthesis of the submissions for SBI41 needs to be called and a workshop be organized before COP 21. These activities would be useful for: sharing experiences; finding ways to address gaps and needs in the process; and identifying ways to implement NAPs within the "process to formulate and implement NAPs".

Paper no. 4: United States of America

Submission by the United States of America

Experience with the Application of the Initial Guidelines for Formulation of National Adaptation Plans

5 May 2014

The United States welcomes the opportunity to respond to the invitation in paragraph 6 of Decision 18/CP.19 to Parties and relevant organizations to submit information on their experience with the application of the initial guidelines for the formulation of national adaptation plans (NAPs), as well as any other information relevant to the formulation and implementation of national adaptation plans.

The United States supports the NAP process through multiple channels. We are among the largest donors to the multilateral Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF). As a member of the LDCF/SCCF Council, the United States endorsed the paper produced by the Global Environment Facility in May 2013 on 'Operationalizing Support to the Preparation of the National Adaptation Plan Process' in response to guidance from COP 18 and the request made by the LDCF/SCCF Council at its meeting in November 2012. It is our expectation that the LDCF and SCCF will begin receiving proposals soon.

The U.S. government also provides support through bilateral channels for the NAP process. This submission draws specifically on the experience and observations of the U.S. Agency for International Development (USAID) to date in providing support for the NAP process in Jamaica, Tanzania, and 11 West African countries. This support is in line with the initial guidelines contained in Decision 5/CP.17. We would like to take this opportunity to share examples of the kind of support that USAID provides, observations on the NAP process in the above-mentioned countries, as well as lessons learned to date.

Overview of U.S. Support for the NAP Process

As reflected in paragraph 3 of Decision 5/CP.17, the NAP process should be country driven, and as such, USAID provides technical support to countries to make their own decisions on how to address the impacts of climate change. Our experience so far demonstrates that countries see the NAPs fundamentally as a *planning process* – with the goal of mainstreaming climate change into national and sector planning and development in a continuous, progressive, integrated, and iterative manner, as stated in paragraph 2 of Decision 5/CP.17.

USAID has supported coordination, policy development, technical assistance, and other activities in a number of developing countries to help advance the NAP process:

- Jamaica launched their NAP process with a workshop in Kingston in July 2012. One hundred and fifty people attended and helped build support for the NAP process across Jamaica's government and with stakeholders and development partners. Stakeholders developed inputs

for a policy framework that will enable Jamaica to address climate risks while achieving the goals of its *Vision 2030 Jamaica: National Development Plan*, which is intended to enable Jamaica to become a developed country by 2030. Building on the momentum from the workshop, Jamaica has developed a national climate change policy that shares responsibilities for addressing climate risks across sector ministries; those responsibilities will be codified in updated sector plans.

- Tanzania's NAP process, initiated in March 2013, began with a focus on coastal priorities. Representatives from a number of ministries and departments, plus a broad array of coastal stakeholders, initially met in Bagamoyo in March 2013 to start laying the groundwork for Tanzania's NAP process and to demonstrate an approach for mainstreaming climate considerations into development and sector planning. Since the meeting in Bagamoyo, Tanzania has prepared a roadmap for its broader NAP process, and key ministries such as water and agriculture have commenced the development of action plans.

- In June 2013, policymakers from 11 countries within the Economic Community of West African States (ECOWAS) met in Accra, Ghana, to promote national action on the NAP process as well as regional cooperation on coastal adaptation. Countries tested the development-first approach, described below, for national adaptation planning; began to identify coastal adaptation priorities; and, developed a common roadmap for addressing those priorities through the NAP process. A policy brief, developed by participants following the meeting, has been a cornerstone in drawing the attention of leaders and policy-level decision-makers to the importance of mainstreaming climate change adaptation into coastal development planning.

In addition, USAID has:

- Provided support for other activities that are highly relevant to the NAP process, including the development of Local Adaptation Plans for Action (LAPAs) in Nepal and Peru;

- Helped to establish the Climate Service Partnership, (which promotes improved climate services for decision-making in developing countries -- a critical input for medium- and long-term resilience; and

- Developed guidance and provided training globally on how to assess vulnerability and plan adaptation in general as well as for specific sectors such as coastal and water resources.

Lessons Learned from USAID Support of the NAP Process

The United States would like to share four key lessons learned about the NAP process based on USAID's experience.

1. The NAP process presents an opportunity to incorporate a development-first approach into adaptation planning.

A development-first approach consists of the following steps, as described in USAID's *Climate-Resilient Development: A Framework for Understanding and Addressing Climate Change:*

- Identify development priorities
- Assess climate risks associated with those priorities
- Identify, evaluate, and select or recommend adaptation actions that reduce vulnerability of development priorities to climate risks.

A development-first approach can facilitate the mainstreaming of adaptation into national development planning. It helps ensure that the climate vulnerabilities that are given priority are the most important for a country's particular development needs and goals. A development-first approach inherently involves key ministries and agencies across government. It can attract other stakeholders to participate in the process. As underlined in paragraph 3 of Decision 5/CP.17, the NAP process should facilitate participatory action, taking into consideration vulnerable groups and communities. As such, the participation of nongovernment organizations (NGOs), the private sector, academia, regional institutions, and community-based organizations (CBOs) is important for including different perspectives in the NAP process. Broad perspectives will help ensure buy-in and increase the likelihood of effective policies and programs.

USAID activities to support the NAP process demonstrate that a development-first approach is helpful in identifying priority adaptations to make development more resilient to climate change. For example, the government of Jamaica has developed and submitted to Parliament a Climate Change Policy Framework and Action Plan. USAID provided technical support to a process that began with Jamaican stakeholders identifying key inputs, such as water, energy, labor, and infrastructure, which will be necessary to achieve the country's development objectives. These inputs are shared by multiple sectors, underlining the importance of coordinated, integrated responses to adaptation challenges. Stakeholders also identified climate and non-climate stressors, such as drought, pollution, and weak governance, which affect those inputs. Finally, stakeholders identified interventions that would alleviate the effects of the climate stressors so that Jamaica can achieve its development objectives in the face of climate change. All of this information fed into the development of the government's Climate Change Policy Framework and Action Plan. This process is intended to catalyze further actions as part of a larger strategic vision for national adaptation planning.

2. *The NAP process can bridge the gap between the immediate needs related to current climate and policy priorities and the long-term challenges associated with climate change and socioeconomic development.*

Reducing vulnerability to the risks that countries face now is urgent, and USAID will continue helping countries address urgent and immediate adaptation needs. However, developing countries are changing rapidly and making development decisions, from prioritizing economic sectors to making investment decisions such as building infrastructure, which will extend many decades into the future. Countries are using the NAP process to bridge gaps between immediate and urgent needs, such as those addressed in National Adaptation Programs of Action, and medium- and long-term needs that climate change will likely affect. The process is helping them use short-term investments to put themselves on a path to meet their long-term needs.

Jamaica, for example, is currently taking actions to address both short- and longer-term climate concerns by integrating climate risks associated with its *Vision 2030* development plan. This approach allows for prioritizing risks across the current economy and in a longer timeframe. At the same time, Jamaica is improving its ability to provide relevant information across these multiple timescales. It is investing in revitalizing its meteorological and climate services and creating working groups with key information users, such as the agricultural extension service. These investments will have both short- and long-term benefits.

As another example, Tanzania is taking action to link short- and long-term needs by requiring that its NAP be updated every five years. This can provide an opportunity to incorporate changing socioeconomic and climate conditions, and information on how specific adaptations actually perform, into the NAP process.

3. The NAP process provides an important opportunity for developing countries to integrate climate change adaptation into longer-term development planning processes, across various sectors and different levels of governance.

The NAP process can help break down administrative "silos" within and between ministries, promoting the integration needed to address climate change risks and achieve development goals, increasing the profile of adaptation and removing barriers, and helping to ensure that adaptation efforts are successfully implemented:

- A number of countries are centrally coordinating their NAP processes. For example, in Tanzania, the Vice President's Office (VPO) is coordinating national adaptation planning and will develop guidance to be carried out by ministries. The VPO is already coordinating adaptation planning in the coastal, water, and agriculture sectors. In Jamaica, the Prime Minister created a new Ministry of Water, Land, Environment, and Climate Change (MWLECC). A new Climate Change Division was established to oversee and coordinate the development and implementation of Jamaica's national climate change policy with implementing agencies and key stakeholders. Moreover, a multi-stakeholder Climate Change Advisory Committee was set up to advise the Ministry during the development of its national climate change policy.

- Broad participation in the policy process is another key ingredient for success. One approach is for each ministry, department, or agency to have a climate change "champion" who serves as an internal lead to promote consideration of climate change across all relevant policies and programs within the ministry, department, or agency. In Jamaica, key line ministries and government agencies have assigned a climate focal point. These individuals represent 23 ministries and agencies, including the Ministry of Finance. The Climate Change Policy Framework and Action Plan identifies institutional roles and responsibilities to integrate climate planning across the government. It includes identifying roles for each ministry responsible for climate-vulnerable components of the *Vision 2030*.

The NAP process can also help to encourage coordination, planning, and implementation across national, regional, and local scales:

- In Nepal, for example, the LAPAs are capturing community adaptation priorities, which are in turn contributing to more integrated and effective national support for local adaptation. USAID is supporting communities in the Khumbu region of Nepal near Mount Everest as they create stakeholder partnerships to facilitate LAPA development and the coordination of local priorities with national government and donor investments in the region. The formulation of subnational adaptation strategies helps inform planning efforts and resource allocation decisions at the national level.

- The NAP process can also promote and involve regional cooperation to reduce vulnerability to cross-border and shared climate risks. In West Africa, ECOWAS and USAID are exploring opportunities to support increased cooperation among the 11 coastal countries through their respective NAP processes, with a focus on improving the management of coastal resources to reduce vulnerability to sea level rise, increased frequency of extreme weather events, and other projected climate stressors across borders.

Finally, the NAP process can help remove barriers to effective implementation of adaptation. Many institutions, policies, and practices can serve as barriers to adaptation by discouraging needed changes or encouraging behavior that increases vulnerability. The NAP process can be used to identify and remove these barriers at different levels of governance. For example, stakeholders in Tanzania and West Africa have identified enforcement as a key component for the successful implementation of actions to reduce coastal vulnerability. Lack of enforcement of existing laws and regulations has often been a barrier to reducing climate risks to development.

4. The NAP process provides opportunities to improve the use of climate information and research for evidence-based decision-making and to encourage institutions to manage adaptively in the context of uncertainty.

Countries will need information about climate change as well as tools to analyze and plan for relevant risks and to identify and evaluate potential adaptations and implement adaptations with the goal of promoting sustainable, climate-resilient development. Climate change presents complex challenges that increase the need for evidence-based decisions. The NAP process provides an opportunity to develop and apply an evidence base related to climate change in order to make more timely, informed, and climate-smart decisions. In Jamaica, USAID, along with the National Oceanic and Atmospheric Administration (NOAA), worked with Jamaica's Meteorological Service to improve their capacity to support decision-making with relevant information on current climate and projected climate change. In Uganda and Malawi, USAID has worked with donor and government partners to provide analysis of climate change vulnerabilities and potential adaptive strategies in important economic sectors, with the reports.

Even with improved climate information, countries will need to be flexible and adaptive given the continuing uncertainties around climate change. These uncertainties coupled with the complexities of social-ecological systems emphasize the need for a variety of tools for adaptation planning and implementation. There is a need to document areas where higher confidence in expected changes can guide current decision-making, and areas where adaptive management should be emphasized given the lower confidence in expected changes. *Adaptive management* means that institutions, policies, and programs are able to make adjustments over time as necessary in response to these changing conditions. Adaptive management builds on many of the themes discussed in this

submission, including coordination, inclusiveness, stakeholder involvement, capacity building, and decentralization.

Inclusive and flexible institutions have the capacity to govern and manage in a way that takes into account climate and other changes. For example, USAID is collaborating with the Limpopo Watercourse Commission (LIMCOM), which includes representatives from South Africa, Botswana, Zimbabwe, and Mozambique, to incorporate climate projections and environmental flows analysis into transboundary water management for the Limpopo Basin. As a result of this collaboration, LIMCOM will be better prepared to assist member countries as they deal with changing climatic and hydrological conditions. In order to assess its level of preparedness, LIMCOM and its relevant partners are currently analyzing a number of scenarios and their ability to respond, and ground-truthing the conclusions.

The NAP process can be used to assess the capacity of institutions to respond to the consequences of climate change and enhance the ability of those institutions to change their policies and practices as needed. By supporting the NAP process in developing countries and promoting good governance, USAID is enhancing the capacity of institutions to adopt and implement principles of adaptive management.

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The United States will continue to provide support to the NAP process in developing countries, both LDCs and non-LDCs. We look forward with pleasure to continuing to share and exchange lessons learned and best practices with other countries and stakeholders in order to enhance further action.

Paper no. 5: Food and Agriculture Organization of the United Nations

Submission by the Food and Agriculture Organization of the United Nations (FAO)

on the Support to Least Developed and Developing Countries in the National Adaptation Plan Process regarding the integration of Agriculture, Fisheries and Forestry perspectives

In response to the invitations of the SBI (i) to receive "information from United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies on how they have responded to the invitation to consider establishing or enhancing support programmes for the national adaptation plan process within their mandates, as appropriate, which could facilitate the provision of financial and technical support to developing country Parties that are not least developed countries" (FCCC/SBI/2013/L.10/Add.1, paragraph 5); and (ii) to refer to "information from Parties and relevant organizations on their experience with the application of the initial guidelines for the formulation of national adaptation plans, as well as any other information relevant to the formulation and implementation of the national adaptation plans (FCCC/SBI/2013/L.10/Add.1, paragraph 6)".

The Food and Agriculture Organization of the United Nations (FAO) herein submits its views to the UNFCCC Secretariat in reference to the two invitations outlined above[1]:

Climate change adds a new challenge for agricultural and rural development. This is of particular importance for Developing Countries (DCs) and especially Least Developed Countries (LDCs), where agriculture is crucial both as a food provider and also as an essential economic sector providing jobs and income and which is key to development. These countries are often at particular risk and lack adaptation capacities. The National Adaptation Programmes of Action (NAPAs) submitted to UNFCCC by 50 countries by 2013 include numerous measures in the agricultural sectors, agriculture, forestry and fisheries[2]. In order to build increased resilience to a changing climate, countries now have to consider medium- to long-term planning through National Adaptation Plans (NAPs) within the framework of national priorities for low emissions and climate resilient development of the agricultural sectors so as to align and sustain growth, food security and poverty reduction.

The Committee on World Food Security (CFS), in its 39th Session held in October 2012[3], recognized that the "adverse effects of climate change can pose serious threats to food security especially to small scale food producers' lives and livelihoods, and to the progressive realization of the right to food in the context of national food security", and urged action. It has also emphasized the importance to strengthen efforts on adaptation to climate change for food security, based on the report of its High Level Panel of Experts on food security and nutrition on "food security and climate change"[4]. This CFS decision has been presented in SBSTA in Doha as well as in ECOSOC.

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[1] This document builds on FAO's submissions to UNFCCC in 2011 and 2012: in its 2011 NAP submission to SBI, the FAO underlined the importance of the agricultural sectors in short-term and long-term adaptation planning, both because of the sectors' particular vulnerabilities to climate change but also because of the sector's potential contributions to national adaptation actions; in 2012, following SBI's invitation to express view on paragraph 7 of Decision FCCC/SBI/2011/L.16 FAO declared that "the FAO stands ready to support LDC and other Developing Countries in the preparation and implementation of NAPs, as well as to contribute to the draft NAP formulation guidelines".

[2] http://unfccc.int/files/cooperation_support/least_developed_countries_portal/napa_priorities_database/application/pdf/napa_index_by_sector.pdf.

[3] http://www.fao.org/fileadmin/user_upload/bodies/CFS_sessions/39th_Session/39emerg/MF027_CFS_39_FINAL_REPORT_compiled_E.pdf.

[4] http://www.fao.org/fileadmin/user_upload/hlpe/hlpe_documents/HLPE_Reports/HLPE-Report-3-Food_security_and_climate_change-June_2012.pdf.

In line with the COP-19 Decision 5/CP.17[5], FAO will dedicate its efforts to develop technical guidance to support LDCs and DCs in the design and implementation of NAPs through existing and new to be developed adaptation programmes.

In 2012, FAO launched a Framework Programme for Climate Change Adaptation (FAO-Adapt) and is committed to supporting countries on climate change adaptation within the agricultural sectors[6]. FAO-Adapt responds to the global call for enhanced action on adaptation that emerged from the December 2010 decision to establish the Cancun Adaptation Framework and Green Climate Fund as a part of the Cancun Agreement.

With the objective to increase the resilience of production and management systems in agriculture, forestry and fisheries systems from local to global levels, FAO's work on adaptation spans over five overarching, interlinked themes:

- Data and knowledge for impact and vulnerability assessment and adaptation planning
- Institutions, policies and financing to strengthen capacities for adaptation
- Sustainable and climate sensitive management of land, water and biodiversity
- Technologies, practices and processes for adaptation
- Disaster Risk Management

Some examples of how FAO has been enhancing its support to LDCs and DCs are presented below:

- FAO has been providing technical support to a number of countries (including Bangladesh, Belize, Cambodia, Dominica, Ecuador, El Salvador, Ethiopia, Guatemala, Lesotho, Mozambique, Nepal, Nicaragua, The Philippines, Viet Nam, Kenya, Jamaica, St. Lucia, Peru, Tanzania) with the objective of reducing vulnerability and increasing adaptive capacity and resilience to better respond to the impacts of climate variability and change and for improving sustainable livelihoods in the agriculture sectors[7]. This technical support included demonstration of adaptation and climate risk management practices (including stress tolerant varieties, soil and water conservation, slope stabilization and management, livelihood diversification) and strengthening institutional mechanisms and technical capacity of stakeholders on several topics, including risk and vulnerability assessments, climate information services, screening of adaptation practices, planning for community based adaptation. The tested typology of adaptation practices has been successfully integrated into sectoral climate change priority frameworks, climate risk reduction plans and/or development plans at different levels in a number of countries. FAO also provides tools[8] and is developing capacities of countries (including Morocco, the Philippines, and Peru) to assess long-term impacts of climate change on agriculture, and characterization of vulnerable household groups in terms of food security, in order to help policymakers with evidence-based adaptation planning[9].

- FAO has recently provided facilitation to the formulation of national sectoral planning documents for climate risk management and disaster risk reduction and management (DRRM) in several countries, including Philippines, Cambodia, Lao, Jamaica, Nepal, China, Guyana, St Lucia, Belize, and Dominica. FAO has also provided direct support to the NAPA development process in various countries, including Nepal. FAO has been supporting the fisheries and aquaculture sector in the development of adaptation plans at national and regional level: for example in the Eastern Caribbean a climate change adaptation/DRM strategy has been developed for the sector. Simultaneously, on request from member countries, the FAO forest and climate change programme provides technical support and has developed guidelines to assist countries in the integration of forest and climate change issues at the policy level.

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[5] http://unfccc.int/files/adaptation/cancun_adaptation_framework/national_adaptation_plans/application/pdf/decision_5_cp_17.pdf.

[6] http://www.fao.org/climatechange/fao-adapt/en/.

[7] http://www.fao.org/climatechange/75250/en/.

[8] http://www.fao.org/climatechange/mosaicc/.

[9] http://www.fao.org/climatechange/amicaf/.

- FAO has furthermore stressed the importance of access to clean energy for household and productive uses in rural areas to better adapt to climate change. To this end, FAO is currently assessing different farming systems that combine both food and energy production (i.e. Integrated Food Energy Systems, or IFES) in Viet Nam in terms of their overall sustainability, including their adaptive capacity to climate variability and change.

- Over the last one and a half years, FAO has been engaging with the UNDP-UNEP led Global Support Programme to National Adaptation Plans (GSP-NAP) as a member of the Steering Board contributing to developing a partnership approach for collaborative support to countries in developing their NAPs involving various sectors. At the regional level, FAO participated in the NAP-GSP Regional Training Workshops in Asia and Africa. FAO has coordinated closely with the GSP-NAP Secretariat on a country-by-country basis on how FAO could enhance its support through its FAO country representations to ensure that line ministries responsible for agriculture and food security are sufficiently engaged in the overall NAPs planning process to ensure full coverage of sector's relevant aspects.

  FAO's work on guidelines suggested by the Least Developed Country Expert Group (LEG) for the formulation of NAPs:

  To facilitate the in-country process on how the agriculture sector and its climate change adaptation strategies could become more integrated in the national planning exercise, FAO is preparing a set of supplementary guidelines that highlight specific agriculture, fisheries and forestry sector aspects while planning and engaging stakeholders in the NAPs process. Simultaneously, the FAO Commission on Genetic Resources for Food and Agriculture has already initiated the development of guidelines specifically dedicated to the integration of genetic diversity considerations into national climate change adaptation planning. The supplementary guidelines on agriculture would have the objective to: i) facilitate consideration and integration of food security and agriculture concerns and perspectives into the NAP process; ii) provide elements for non-agriculture specialists to understand what are the issues at hand and iii) enable agriculture stakeholders to better identify and understand the issues at stake in a mid/long term perspective and to participate efficiently in the process. FAO plans a stakeholder consultation process on the outline and content of the guidelines, and aims to launch the guidelines at COP 20 in Lima, Peru.

  FAO will continue to support countries in developing their NAPs through the Global Support Programme. Actions taken by FAO will include capacity development and support to national planning processes enabling the inclusion of agriculture and food security aspects in the design and implementation of NAPs

Paper no. 6: International Organization for Migration, United Nations High Commissioner for Refugees, and United Nations University Institute for Environment and Human Security

Joint submission to the United Nations Convention on Climate Change (UNFCCC) On National Adaptation Plans (NAPs)

The International Organization for Migration (IOM)
The United Nations High Commissioner for Refugees (UNHCR)
The United Nations University Institute for Environment and Human Security (UNU-EHS)

The Norwegian Refugee Council (NRC) and its Internal Displacement Monitoring Centre (NRC/IDMC)

Also on behalf of:
Centre d'études et de recherches internationales de Sciences Po (Sciences Po -CERI) and Refugees International

These organizations form the Advisory Group on Climate Change and Human Mobility

FOR CONSIDERATION AT SBI 40

Information from Parties and relevant organizations on their experience with the application of the initial guidelines for the formulation of national adaptation plans, as well as any other information relevant to the formulation and implementation of the national adaptation plans.

The Subsidiary Body for Implementation, at its thirty-ninth session (FCCC/SBI/2013/L.10/Add.1) invited:

- (paragraph 5) United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies to consider establishing or enhancing support programmes for the national adaptation plan process within their mandates, as appropriate, which could facilitate the provision of financial and technical support to developing country Parties that are not least developed countries, and to submit to the secretariat, by 26 March 2014, information on how they have responded to this invitation;
- (paragraph 6) Parties and relevant organizations to submit, by 26 March 2014, information on their experience with the application of the initial guidelines for the formulation of national adaptation plans, as well as any other information relevant to the formulation and implementation of the national adaptation plans, for compilation by the secretariat into a miscellaneous document, for consideration by the Subsidiary Body for Implementation at its fortieth session (June 2014).

The Advisory Group on Climate Change and Human Mobility is composed of organizations – UNHCR, IOM, NRC/IDMC, UNU, UNDP, ILO, OHCHR, Sciences Po (CERI) and Refugees International – which consider that close cooperation in framing and communicating issues surrounding human mobility in response to climate change is the most effective way to inform policy-making. The Advisory Group focuses on human mobility, both as an adaptation strategy and as a dimension of loss and damage, with the aim of leveraging evidence and enhancing knowledge and understanding of human mobility prompted by climate change.

Background

- The most recent IPCC report includes, for the first time, a chapter addressing human security, including aspects pertaining to migration and mobility. It recognizes that climate change poses severe challenges to human security: populations will face unpredictability, inter alia, with more frequent and more severe floods and droughts, longer heat waves and changes to rainfall patterns.

- Multiplying existing threats and vulnerabilities, climate change will worsen the situation in parts of the world that already experience high levels of stressors to livelihoods, food security, and resource availability, among other societal impacts.

- Even with robust mitigation action by all major greenhouse gas emitters, climate change will continue to impact all countries. All countries, therefore, need to prepare for the unavoidable impacts of climate change that humankind is projected to face based on current scientific evidence, and to enhance the resilience of their inhabitants in the face of future uncertainties. Adaptation to the adverse effects of climate change is and will continue to be one of the most pressing challenges facing all countries, and particularly developing countries.

- Climate change has significant repercussions for the mobility choices of vulnerable communities – which include refugees and displaced persons already concentrated in climate change hot spots around the world. The latest reports suggest that the impact of climate change, such as changing rainfall patterns and increases in temperature, combined with rapid population growth, make it more and more likely that human mobility will be both a consequence of climate change as well as an important dimension of adaptation.

- The Conference of Parties (COP) to the UNFCCC, meeting in Cancun in December 2010 (COP 16), recognized the potential impact of climate change on the movement of people and invited Parties (paragraph 14(f)): "to enhance action on adaptation under the Cancun Adaptation Framework [...] by undertaking inter alia, the following: [...] Measures to enhance understanding, coordination and cooperation with regard to climate change induced displacement, migration and planned relocation, where appropriate, at national, regional and international levels."[1]

- Unlike the National Adaptation Plan for Action (NAPA), which helped to identify and prioritize urgent adaptation needs in the short term, the National Adaptation Plan (NAP) are broader and cross-cutting. In general, there is little and often negative mention at all of mobility (whether migration, displacement or relocation) in the NAPAs. The NAP process enables Parties to formulate and implement NAPs as a means of identifying medium and long-term adaptation needs and developing and implementing strategies and programmes to address those needs.[2]

1. Information relevant to the formulation and implementation of the national adaptation plans

Adaptation to prevent climate change induced displacement

- Given improvements in life-saving early warning systems concurrent with the growing number of people and critical infrastructure exposed to climate-related hazards, disaster-related displacement has been on the rise. Barring action, the multiplication of disaster scenarios will further add to the scale and complexity of human displacement.

- Human displacement should be avoided as it can be associated with the economic and non-economic losses of inter alia: freedom of movement, assets, housing, land, property, security and livelihoods, and a further loss of cultural, customary and/or spiritual identity, as well as health and social networks.

- National governments are primarily responsible for protecting those who are displaced within their own countries and they should prevent and avoid conditions that might lead to displacement.

- All States should assess how climate change will impact human mobility and plan accordingly within national adaptation plans to prevent displacement when possible through mitigation and adaptation measures, and to plan for relocation when prevention is not feasible. Such measures should seek to ensure that the protection and assistance needs of affected populations are fully addressed.

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[1] http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf.
[2] Decision 5/CP.17, paragraph 7.

- Adaptation, assistance, protection and other measures should be provided to ensure that individuals, households and communities can remain in their original settlements for as long as possible in a manner fully consistent with their rights.

- Measures to prevent displacement through land use planning, hazard risk reduction, increasing resilience, and other actions to reduce human mobility-related pressures, and thereby to enable people to remain in their original settlements, is also a form of adaptation to climate change.

Migration as an adaptation strategy

- Migration often seems to be misperceived as a failure to adapt to a changing environment. Instead, migration can also be an adaptation strategy to climate and environmental change and is an essential component of the socio-environmental interactions that needs to be managed. Migration can be a coping mechanism and survival strategy for those who move.

- Migration can play an important role in building adaptive capacity to climate change, for example by diversifying rural household income sources (i.e. remittances used to take resilience measures at household level), reducing pressures on fragile eco-systems and leading to positive development impacts.

- Improving the adaptive capacity of vulnerable households and communities (i.e. training to help people access jobs on the global labour market, or special visa categories for people from specific areas affected by climate change) would ensure that migration is a choice and is not forced because people cannot access other adaptation options that would enhance their resilience.

- At the same time, migration, and mass migration in particular, can also have significant environmental repercussions for areas of origin, areas of destination, and the migratory routes in between and contribute to further environmental degradation.

Planned relocation as a last adaptation resort

- While people should be enabled to remain in their original settlements, situations may arise where governments determine, based on hazard risk mapping, climate modeling and other scientific evidence, that relocation is necessary to protect public health and safety or when individuals, communities and households face loss of life, assets, housing, land, property, security and/or livelihoods, and that no other means of adaptations are available to enhance their resilience and avoid relocation.

- In such cases, national adaptation plans should include measures to put in place institutions, policies, legislations and mechanisms to ensure that planned relocations[3] are context-driven and undertaken based on scientific evidence and in a manner that protects the rights of affected individuals, including the rights to participation and full and informed consent.

2. Information on how our organizations have responded to the invitation to establish or enhance support programmes for the national adaptation plan process

Common contribution

- The Advisory Group on Climate Change and Human Mobility will organize a side event at the UNFCCC climate conference at Bonn on 4–15 June 2014 to share information on the latest research on population mobility and climate change and how this is being brought into the adaptation processes (e.g. the National Adaptation Plans) and the loss and damage process.

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[3] Also "resettlement" in World Bank and development circles.

UNHCR

- UNHCR in partnership with NRC/IDMC is implementing a project on "Climate change and displacement: building an evidence base and equipping States with tools and guidance for action", funded by the European Union, with the co-funding from Switzerland and Norway.
  UNHCR commissioned a report on Protection and Planned Relocations in the Context of Climate Change, published under its Legal and Protection Policy Research Series.
  UNHCR organized, together with Brookings Institution and Georgetown University, a consultation on planned relocations, disasters and climate change on 12-14 March 2014. The consultation brought around the table key States representatives in their expert capacities, academics/think tanks, civil society and relevant international organizations, to draw upon existing research, experience and lessons learned, including from the experience of development-induced planned resettlement, in order to identify major challenges and lessons and to provide guidance for further action on climate-induced planned relocations.
  The outcome of this consultation will be presented at the abovementioned side event.

IOM

- IOM launched the three-year project "Migration, environment and climate change: evidence for policy", funded by the European Union (2014-2016), which will provide new evidence for policymaking on migration, environment and climate change, with particular emphasis on migration as an adaptation strategy. The six project countries are Haiti, Dominican Republic, Kenya, Mauritius, Papua New Guinea and Viet Nam. The main activities for 2014 in all six countries are as follows: 1) Establishment of Technical Working Groups and meetings, crucial to identifying policy needs in order to integrate migration into adaptation planning; 2) National Assessments: stocktaking of existing evidence and data; mapping of current migration and environment policy and legal frameworks; overview of climate change vulnerabilities and populations most at risk; 3) Household surveys; 4) Development of a training manual including a module on how to integrate migration into NAPs with country case studies.

- IOM in cooperation with the Global Mechanism (GM) of the United Nations Convention to Combat Desertification (UNCCD) and with funding from the Government of Italy is implementing a three-year project (2014 – 2016) entitled "Promoting Sustainable Land Management (SLM) through Innovative Financing Mechanisms In Rural Areas of West Africa". The project integrates sustainable land management, migration, diasporas and development policies in Burkina Faso, Niger and Senegal.

- IOM is developing a handbook on integrating migration into National Adaptation Plans in 2014, building upon its expertise in developing handbook on integrating migration into development planning. This handbook is a thematic supplement to the Technical Guidelines on NAPs. IOM is dedicated to this endeavor and is in consultation with the Adaptation Committee on the next steps to prepare guidelines applicable to the adaptation strategies of Parties facing diverse conditions which may lead to migration, displacement and relocation.

- Capacity-building and awareness-raising among policymakers are essential in laying the groundwork for integrating migration into the NAP process. IOM developed a three-day training course for policy makers on the migration-environment and climate nexus with a module on "migration and adaptation". The first training workshop was held in March 2013 for policymakers in the Asia-Pacific region, and the second training was held in March 2014, for the Sub-Saharan Africa region. The trainings confirmed the high demand and need of practical guidance on linking migration and adaptation strategies.

- IOM has a series of publications and communication tools on migration, environment and climate change that provide evidence for human mobility and adaptation, including the annual publication the State of Environmental Migration, published in partnership with the Institute for Sustainable Development and International Relations (IDDRI), People on the Move in a Changing Climate (Springer publications, IOM and University of Neuchâtel, 2013) the bi-annual IOM Environmental Migration E-Newsletter and the on-line information platform Asia Pacific Migration and Environment Network (APMEN) with the Asian

Development bank (ADB). IOM is also developing in collaboration with the French Université de Versailles, the first Atlas of Environmental Migration to be published in 2014.

- IOM has a number of operational projects on human mobility and adaptation and resilience that are ongoing, in the pipeline or completed including "Climate Adaptation, Disaster Risk Reduction and Education (CADRE)" in the Federal State of Micronesia (ongoing); "Adaptation and Resilience in the Limpopo River Basin" in South Eastern Africa (ongoing) ; "Mitigating Resource Based Conflicts among Pastoralist Local Communities", in Northern Kenya (completed) ; "Strengthening Youth Capacities to Adapt to Climate Change (YCAC)" in Senegal (completed); "Assessment of Effects of Drought and Climate Change on Livelihood Support Mechanisms among Pastoralist and Mobile Communities in Pastoralist Regions including North Eastern and Rift Valley Province" (completed) . Climate change adaptation issues are integrated within IOM's disaster risk reduction and resilience-building programmes. The Compendium of IOM Activities in Disaster Risk Reduction and Resilience released in 2013 provides in depth information on these activities.

Norwegian Refugee Council and Internal Displacement Monitoring Centre

- In partnership with UNHCR, the Norwegian Refugee Council (NRC) and its Internal Displacement Monitoring Centre (IDMC) is implementing the abovementioned project on Climate change and displacement. In this capacity, NRC and IDMC have produced global and regional analyses of existing patterns of displacement associated with climate-related hazards. Based upon the scale of displacement related to reported disasters, IDMC has developed probabilistic models that estimate the likelihood of future displacement, information that Parties can incorporate into adaptation planning processes. This research and modeling includes a decision-support tool that simulates in real time the impacts of climate hazards, demographic trends and different policies and interventions on pastoralist livelihoods and displacement; this tool can be used to evaluate the effectiveness of different adaptation strategies under different climate scenarios.

- In addition, IDMC have also produced research on how human mobility has been addressed within existing NAPAs, NAPs and other related laws and policy instruments in the Pacific. Based upon this analysis, IDMC has provided recommendations for Parties on how they can increase the effectiveness of adaptation strategies with respect to preventing and responding to climate change-induced displacement. In the coming months, NRC/IDMC will publish additional thematic analyses concerning protection risks that arise in relation to climate change-induced displacement. These reports will address issues such as resilience, displacement in urban settings and housing, land and property.

- Further through partnership with national civil society organizations in Egypt, Somalia, Sudan and Uganda, NRC has established working groups consisting of selected national stakeholders that in addition to specific assessment of exiting legal instruments and policies (at national level) relevant for DRR, disaster response, management and displacement studies on risk, disasters induced displacement, and in some cases a cost-benefit analysis on risk reduction to informed policy development and implementation, will also advocate with the relevant government bodies to secure that displacement is included in the NAPs.

UNU-EHS

- UNU-EHS is coordinating and co-authoring Nansen Policy Brief with the title: Integration of Human Mobility Issues within National Adaptation Plans. The Policy Brief will be launched in the next Nansen Side Event of the UNFCCC June Climate Talks (4-15 June 2014) in Bonn, Germany.
    - UNU-EHS is drafting the introduction to human mobility in the context of UNFCCC, and its current relevance within the UNFCCC process (highlighting NAPs).
    - IOM is drafting a chapter on integrating migration into the NAPs.
    - UNHCR is drafting a chapter on integration of planned internal relocation into the NAPs.

Sciences Po

- Sciences Po is coordinating, in cooperation with IOM, an Atlas of Environmental Migration, to be published in 2015. The Atlas should serve as a pedagogical tool to help visualize the key challenges of human mobility related to climate change.

- Sciences Po will be holding on 16-17 April 2014, in cooperation with IDMC, a workshop on the quantitative methods to assess mobility related to environmental changes. Quantitative methods represent at the moment a significant gap in our knowledge of the subject, and a key policy challenge.

Refugees International

- Refugees International (RI) conducts independent research and assessments of displacement crises including those resulting from climate-induced disasters in poor and conflict-ridden states. Grounded in field-based research, RI provides recommendations to national governments, donor governments, the UN, international financial institutions, and others for legal, policy, institutional, and operational changes aimed at improving protection of and assistance to vulnerable populations displaced or affected by climate-related events. RI's Climate Displacement Program produces two to three reports each year that include recommended policy, legal, institutional, and operational measures to better mitigate and respond to climate-related displacement that are relevant both to State Parties' adaptation programs and donor governments and UN agencies providing adaptation funding and technical assistance.

World Bank Group Submission of Views | National Adaptation Plans (SBI)

Request: Information from United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies on how they have responded to the invitation to consider establishing or enhancing support programmes for the national adaptation plan process within their mandates, as appropriate, which could facilitate the provision of financial and technical support to developing country Parties that are not least developed countries. (FCCC/SBI/2013/L.10/Add.1, paragraph 5).

World Bank Group Response:

- While the World Bank Group has not directly supported countries to prepare the NAP as called for under the UNFCCC process, the World Bank Group works through its range of instruments (Country Partnership Processes, Development Policy Instruments, and Investment Loans) that have the potential to inform and feed into national adaptation plans. The World Bank's funding commitments for projects which generate adaptation co-benefits have increased from $2.3 BN in 2011 to $2.9 BN in 2013.

- Particularly relevant to the scope and content of the NAPs is the ongoing support by the MDBs to the eighteen countries under the CIF funded Pilot Program for Climate Resilience (PPCR) which seeks to mainstream climate resilience into national development planning processes and related programs and investments. Under this program, each country develops a Strategic Program for Climate Resilience – a medium to long-term strategic approach to climate resilience – which includes a pipeline of investments and coordination mechanisms at the national level to advance climate resilience (e.g. Nepal, Mozambique, and Niger).

- Beyond the least developed countries, the World Bank Group is engaged in longer-term adaptation planning through instruments such as development policy instruments which complements national adaptation processes (e.g. Morocco, Mexico, and Vietnam). From July 1, we will strengthen efforts to build resilience through the replenishment of International Development Association (IDA17) where we will integrate considerations of climate change and disaster risk into our upstream engagement with countries, screen all new IDA operations for short- and long-term climate change and disaster risks and implement multi-sectoral plans and investments for managing climate and disaster risk in development in at least 25 IDA countries where we're not already doing so.

- Useful lessons are being learnt across the PPCR and other programs on the use of concessional and non-concessional funding for adaptation planning, the importance of robust data, information and climate services, and how to build resilience measures into mainstream sectors like agriculture, water, urban cities and disaster response. Important lessons relate to the critical role of continued support towards enhancing adaptive capacities of institutions, communities at both local and national levels.

Request: Information from Parties and relevant organizations on their experience with the application of the initial guidelines for the formulation of national adaptation plans, as well as any other information relevant to the formulation and implementation of the national adaptation plans. (FCCC/SBI/2013/L.10/Add.1, paragraph 6).

World Bank Group Response:

- The NAP Guidelines provide a very useful framework to identify the medium to long term adaptation needs of countries. We believe the technical guidelines which promote a flexible, non-prescriptive approach, coupled with guidance on some key steps that could help a country develop a roadmap grounded in its own realities resonates with the experience which has emerged from the PPCR as it seeks to mainstream climate resilience into core development planning. The NAP guidelines, and the growing body of experiences including those from PPCR, are well placed to inform the formulation and implementation of national adaptation plans. We would be happy to share information on the lessons emerging from the PPCR as needed (highlighted in the response above).